

Patent 45278.00004.UTL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:) Group Art Unit: To Be Assigned
Jonathan S. Spirgel, et al.) Examiner: To Be Assigned
Serial No.: 10/680,589) Customer No.: 36183
Filed: October 6, 2003)
For: SYSTEMS AND METHODS FOR SECURITIZING A COMMODITY)))

TRANSMITTAL LETTER

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Enclosed are the following documents:

- Supplemental Information Disclosure Statement;
- Form PTO/SB/08A;
- Copies of ONE (1) cited reference; and
- Return Postcard.

CERTIFICATE OF MAILING (37 C.F.R. §1.8a) *

I hereby certify that this paper (along with anything referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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No fee is believed due with this submission; however, the Commissioner is authorized to charge any fee required, or to credit any overpayment, to our Deposit Account No. 50-2613.

Respectfully submitted,

PAUL, HASTINGS, JANOFSKY & WALKER LLP

Dated: $\frac{5/2}{0}$

By:

Noel C. Gillespie

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SAN/89089.1

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SUPPLEMENTAL INFORMATION	ON DISCLOSURE STATEMENT
Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	
Sir:	
In compliance with the Applicant's duty und	der 37 CFR § 1.56, the following information is
brought to the attention of the Examiner.	
CERTIFICATE (37 CFR	
I hereby certify that this paper (along with any referred to as I United States Postal Service on the date shown below with su addressed to the Commissioner for Patents, P.O. Box 1450, A	being attached or enclosed) is being deposited with the ifficient postage as First Class Mail in an envelope
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·	Name of Person Delivering Paper
Date of Delivery	John
Date of Delivery	Signature of Person Delivering Dense

REFERENCES					
The references are listed on the attached Form PTO/SB/08a and copies are enclosed for the	e				
convenience of the Examiner.					
Copies of the references listed on the attached Form PTO/SB/08a have already been					
submitted in corresponding Patent Application No and therefore, copies of the					
same are not enclosed.					

The items identified in this Information Disclosure Statement may or may not be "material" pursuant to 37 CFR § 1.56 and the submission thereof by Applicant shall not be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as "prior art" 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

The filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information, as defined in 37 CFR § 1.56, exists.

DISCLOSURE

The attached IDS is being filed in accordance with 37 CFR §§ 1.97 and 1.98. This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b)(3), that is before the mailing of a first Office Action on the merits. Thus, no petition or fee is required. However, if the undersigned representative of Applicant is in error in this regard, then the Examiner is requested to consider this IDS as filed under § 1.97(c)
The attached Information Disclosure Statement is being filed in accordance with 37 CFR §§ 1.97(c) and 1.98. This IDS is being filed after an action on the merits but before a Final Action under § 1.113 or a Notice of Allowance under § 1.311. In the event that this IDS is not received before a Final Action under § 1.113 or a Notice of Allowance under § 1.311, the Applicant respectfully requests the filing of these papers to be considered a petition requesting consideration of this IDS pursuant to 37 CFR § 1.97(d).
The attached Information Disclosure Statement is being filed in accordance with 37 CFR §§ 1.97(d) and 1.98. This IDS is being filed after receipt of a final action but before receipt of a Notice of Allowance Under §1.311.
I certify that pursuant to 37 CFR 1.97(e)(1), each item of information contained in this Information Disclosure Statement was first cited in any communication (International Search Report – copy enclosed) from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.
I certify that pursuant to 37 CFR 1.97(e)(2), no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the best of my knowledge, no item of information contained in this Information Disclosure Statement was known to any individual more than three months prior to the filing of this Information Disclosure Statement.

	PAYMENT METHOD
	Enclosed is a check to cover the fee pursuant to 37 CFR § 1.17(p).
\boxtimes	The Examiner is hereby authorized to charge any fee due with this filing to our Deposit
Accou	unt No. 50-2613.
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our De	eposit Account No. 50-2613.
	Respectfully submitted,
	PAUL, HASTINGS, JANOFSKY & WALKER

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

of

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Co	omplete if Known
Application Number	10/680,589
Filing Date	October 6, 2003
First Named Inventor	Spirgel et al.
Group Art Unit	To Be Assigned
Examiner Name	To Be Assigned
 Attorney Docket Number	45278 00004 LITI

				U.S. PATENT DOCU	MENTS	
Examiner	Cite	U.S. Patent Document		Name of Patentee or	Date of Publication of	Pages, Columns, Lines,
Initials*	No.1	Number	Kind Code ² (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear
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	FOREIGN PATENT DOCUMENTS							
Examiner			Name of Patentee or	Date of Publication of	Pages, Columns, Lines,	T		
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NON PATENT LITERATURE DOCUMENTS					
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	AA	"Launch if UK Listed Gold Bullion Securities & New Initiative with World Gold Council" World Gold Council Limited, December 2, 2003.			
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Examiner	SAN/89082.1	Date	Ì	 <u> </u>
Signature		Considered		

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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation is not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.